

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Joshua Susser et al.
SERIAL NO.: UNASSIGNED
FILING DATE: Herewith
TITLE: TECHNIQUES FOR PERMITTING ACCESS ACROSS A
CONTEXT BARRIER ON A SMALL FOOTPRINT DEVICE
USING AN ENTRY POINT DEVICE
EXAMINER: UNASSIGNED
ART UNIT: UNASSIGNED

CERTIFICATE OF EXPRESS MAILING

I hereby certify that this paper is being deposited with the United States Postal Service as Express Mail
9/9/03 in an envelope addressed to: Commissioner for Patents, P.O. Box 1450 Alexandria, VA 22313-
1450, on the date printed below:

Date: Sept 9, 2003

Name: L Salazar
Lola Salazar

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Commissioner for Patents
Alexandria, VA 22313-1450**

INFORMATION DISCLOSURE STATEMENT

Each item of information listed in the attached FORM PTO-1449, for which a copy of each is attached, may be material to the examination of the above-identified application and is, therefore, submitted in compliance with the duty of disclosure defined in 37 CFR §§ 1.56, 1.97 and 1.98. The Examiner is requested to make these items of official record in this application. Pursuant to 37 C.F.R. § 1.98, a copy of each of the documents cited was submitted in Application No. 09/235,157 upon which is based a claim for priority under 35 U.S.C. § 120. The Examiner is requested to make these items official record in this application.

This Information Disclosure Statement under 37 CFR §§ 1.56, 1.97 and 1.98 is not to be construed as a representation that a search has been made, that additional information material to the examination of this application does not exist, or that any one or more of these items constitutes prior art.

Copies of the documents listed in the attached Form 1449 were previously submitted in prior application Serial No. 09/235,157, filed January 22, 1999, upon which Applicants rely for the benefits provided in 35 U.S.C. § 120. In accordance with 37 C.F. R. 1.98(d), copies of the listed documents are not included.

I

This statement is filed pursuant to:

☒ (X) 37 C.F.R. § 1.97(b).

This information disclosure statement is filed either (1) within three months of the filing date of a national application other than a continued prosecution application under §1.53(d); (2) within three months of the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international application; (3) before the mailing date of a first office action on the merits, or (4) before the mailing of a first office action after the filing of a Request for Continued Examination under 37 C.F.R. § 1.114, whichever event occurs last.

Accordingly, this information disclosure statement requires no fee and no certification.

☐ () 37 C.F.R. § 1.97(c).

This information disclosure statement is filed after the period specified in 37 C.F.R. § 1.97 (b), but before the mailing date of either (1) a final action under 37 C.F.R. § 1.113; (2) a notice of allowance under 37 C.F.R. § 1.311; or (3) an action that otherwise closes prosecution in the application.

Accordingly, this information disclosure statement requires either the fee specified in 37 C.F.R. § 1.17 (p) for submission of an information disclosure statement under 37 C.F.R. § 1.97 (c) (\$180); or a certification according to 37 C.F.R. § 1.97 (e).

☐ () 37 C.F.R. § 1.97(d).

This information disclosure statement is filed after the period specified in 37 C.F.R. § 1.97 (c).

Accordingly, this information disclosure statement requires the fee specified in 37 C.F.R. § 1.17 (p) to consider an information disclosure statement under 37 C.F.R. § 1.97(d) (\$180), and a certification according to 37 C.F.R. § 1.97(e).

If this statement crosses in the mail with an office action, or is otherwise not in the indicated category of 37 C.F.R. § 1.97, it is respectfully requested that this statement be

treated in the next appropriate category and made of record. To the extent required, please treat this paper as a conditional petition for acceptance of the information disclosure statement.

II

- (**X**) No fee is due.
- () The fee specified in 37 C.F.R. § 1.17(p) for submission of an information disclosure statement under 37 C.F.R. § 1.97(c) is enclosed (\$180).

Please charge any additional required fee or credit any overpayment to our deposit account number 50-1698. An additional copy of this page is enclosed.

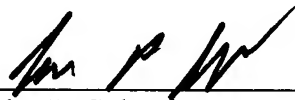
III

Pursuant to 37 C.F.R. § 1.97(e), I certify:

- (**X**) No certification is necessary.
- () (1) Each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the statement.
- () (2) No item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c), more than three months prior to the filing of the statement.

Respectfully submitted,
THELEN REID & PRIEST LLP

Dated: 9/9/03



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Form PTO 1449 (Rev. 2-32) U.S. Department of Commerce Patent and Trademark Office					Atty. Docket No. SUN-P3709 <i>CNT</i>		Serial No. <i>Unassigned</i>	
Information Disclosure Statement by Applicant					Applicant: <i>Susser et al.</i>			
(Use several sheets if necessary)					Filed: <i>9/8/03</i> Group:			
U.S. Patent Documents								
Init.		Document No.	Date	Name	Class	Subclass	Filing Date	
	A	5,446,901	09/29/95	Owicki et al.	395	700	06/30/93	
	B	5,884,316	03/16/99	Bernstein et al	707	103	11/19/96	
	C	5,930,363	07/27/99	Stanford et al.	380	24	03/17/95	
	D	6,094,656	07/25/00	De Jong	707	100	08/02/96	
	E	6,182,158	01/30/01	Kougiouris et al.	709	328	08/19/97	
	F	6,212,633	004/03/01	Levy et al.	713	153	06/26/98	
Foreign Documents								
							Translation	
Init.		Document No.	Date	Country	Class	Subclass	Yes	No
Other Documents (Including Author, Title, Date, Pertinent Pages, etc.)								
	G	Daniels, John et al., "Strategies For Sharing Objects In Distributed Systems", JOOP, <i>Object Designers Ltd., UK</i> , pages 27-36						
Examiner					Date Considered			
Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include a copy of this form with the next communication to applicant.								

Notice of References Cited	Application/Control No. SUN-P3709CNT	Applicant(s)/Patent Under Reexam Susser t al.	
	Examiner Unassigned	Art Unit	5 of 8

U.S. PATENT DOCUMENTS

	Document Number Country Code-Number-Kind Code	Date MM-YYYY ¹	Name	Classification ²	
A	6,233,688	5/2001	Montenegro et al.	713	201
B	6,373,950	4/2002	Rowney	380	255
C					
D					
E					
F					
G					
H					
I					
J					
K					
L					
M					

FOREIGN PATENT DOCUMENTS

	Document Number Country Code-Number-Kind Code	Date MM-YYYY ¹	Country	Name	Classification ²	
N						
O						
P						
Q						
R						
S						
T						

NON-PATENT DOCUMENTS

	Include, as applicable: Author, Title, Date, Publisher, Edition or Volume, Pertinent Pages				
U					
V					
W					
X					

* A copy of this reference is not being furnished with this Office action. See MPEP § 707.05(a).

¹ Dates in MM-YYYY format are publication dates.

² Classifications may be U.S. or foreign.

Form PTO 1449 (Rev. 2-32) U.S. Department of Commerce Patent and Trademark Office				Atty. Docket No. SUN-P3709 <i>CNT</i>		Serial No. <i>unassigned</i>	
Information Disclosure Statement by Applicant				Applicant: Susser et al.			
(Use several sheets if necessary)				Filed: <i>9/18/03</i> Group:			
U.S. Patent Documents							
Init.		Document No.	Date	Name	Class	Subclass	Filing Date
	A	4,930,129	05/29/90	Takahira	371	40.4	03/11/88
	B	5,057,997	10/15/91	Chang et al.	364	200	02/13/89
	C	5,481,715	01/02/96	Hamilton et al.	395	700	12/15/93
	D	5,894,550	04/13/99	Thiriet	395	185.07	01/16/97
	E	5,912,453	06/15/99	Gungl et al.	235	492	09/25/96
	F	6,173,391	01/09/01	Tabuchi et al.	712	200	02/18/98
	G	6,220,510	04/24/01	Everett et al.	235	380	04/23/98
	H	6,292,874	09/18/01	Barnett	711	153	10/19/99
	I	6,349,336	02/19/02	Sit et al.	709	227	02/15/00
Foreign Documents							
Translation							
Init.		Document No.	Date	Country	Class	Subclass	Yes No
	J	98/37526	19.02.98	WO	G07F		
	K	99/16030	18.09.98	WO	G07F		
Other Documents (Including Author, Title, Date, Pertinent Pages, etc.)							
	L	Chan, "Infrastructure of Multi-Application Smart Card", http://home.hkstar.com/~alanchan/papers/multiApplicationSmartCard/ , July 25, 2002					
	M	Cordonnier, et al., "The concept of suspicion: a new security model for identification management in smart cards", http://inforge.unil.ch/isdss97/papers/48.htm , (1997)					
	N	Lee, Chan Y., "Detecting Out-Of-Range References", http://127.0.0.1:8080/vtopic.isapi?action+View&VdkVgwKev=%2E@2E%2Fdata%2F1_993%2F , July 24, 2002					
	O	Philips Semiconductor, "Designers offered first 16-bit smart card IC architecture with development tools", Press Release, July 25, 2002					
	P	Ritchey, Tim, "Advanced Topics: The Java Virtual Machine", <i>Java!</i> , Chapter 14, pages 25-346, September 22, 1995					
	Q	<i>Sun Microsystems</i> , "Java Card 2.0 Language Subset and Virtual Machine Specification", Revision 1.0 Final, October 13, 1997					
	R	<i>Sun Microsystems</i> , "Java Card 2.0 Programming Concepts", Revision 1.0 Final, October 15, 1997					
	S	"Sun Microsystems Announces JAVACARD API", Business Wire, October 1996					
Examiner					Date Considered		
Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include a copy of this form with the next communication to applicant.							

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(Use several sheets if necessary)				Filed: <i>9/8/03</i> Group:			
U.S. Patent Documents							
Init.		Document No.	Date	Name	Class	Subclass	Filing Date
		5,204,663	4/20/93	Lee	340	825.34	
		5,544,246	8/6/96	Mandelbaum et al.	380	23	
		5,649,118	7/15/97	Carlisle et al.	395	241	
Foreign Documents							
Init.		Document No.	Date	Country	Class	Subclass	Translation Yes No
		01277993 A	11/8/89	JP	G06K	19/00	YES
		05089303 A	04/09/93	JP	G06K	19/07	abstract
		02156357 A	6/15/90	JP	G06F	12/14	abstract
		4126213	02/93	DE			
		0190733	08/86	EP			
		0466969	01/92	EP			
		0666550	08/95	EP			
		WO 87/07062	11/87	WO			
		WO 94/10657	05/94	WO			
Other Documents (Including Author, Title, Date, Pertinent Pages, etc.)							
Examiner					Date Considered		
Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include a copy of this form with the next communication to applicant.							

